

Information and Instructions for Prequalification of Bidders

Under the provisions of RCW 47.28.070 et seq. any person, firm, or corporation desiring to bid upon any construction or improvement of any state highway for the Department of Transportation is first required to execute and file with the Secretary of Transportation, a fully completed Standard Questionnaire and Financial Statement (DOT Form 420-010) and be prequalified before a proposal form can be furnished.

The laws of the State of Washington require that an out-of-state corporation secure authority from the Secretary of State to transact business in the State of Washington. Accordingly, before the state can enter into a contract with an out-of-state or foreign corporation, such corporation must comply with Washington's corporation laws. Information and application blanks may be obtained from:

**Office of the Secretary of State
PO Box 40220
Olympia WA 98504-0220**

A photocopy of the above mentioned Certificate of Authority from the Secretary of State (Washington) must accompany this questionnaire.

Those contractors seeking prequalification in electrical classifications of work (class 9 and class 16) must provide photocopies of current State Electrical license.

It is suggested that your firm contact the Business and Professions Division to assure that all requirements for doing business in Washington State have been fulfilled. General licensing requirements information and forms are furnished by:

**Department of Licensing - Business & Professions Division
PO Box 49034
Olympia WA 98507-9034
Telephone: (360) 664-1400**

Joint Ventures for Prequalification

The Department of Transportation recognizes two distinct types of joint ventures, for bidding (Prequalification), classified as follows:

1. **Continuing Joint Venture** : An association of two more firms formed for the purpose of submitting joint bids for projects to be let over a period of time.
2. **Individual Project Joint Venture** : An association of two more prequalified firms formed for the specific purpose of submitting a joint bid on a specific project.

Prequalification of Individual Project Joint Ventures

The bids of individual project joint ventures will be accepted provided all members of the joint venture are currently prequalified. They must execute and file with the Secretary of Transportation, subject to approval, a standard form of "Individual Project Statement of Joint Venture," (DOT Form 410-009) setting forth the name of the joint venture, the members of the joint venture, the title of the improvement and the names of those authorized to bind the joint venture. (Corporate minutes authorizing a joint venture must accompany the joint venture for prequalification).

Individual Project Statement of Joint Venture Forms (DOT Form 410-009) are available on request from the Pre-Contract Administration at (360) 705-7837.

Prequalification of Continuing Joint Ventures

The Bids of Continuing Joint Ventures will be accepted if prequalification has been satisfactorily established by the following method:

A Standard Questionnaire and Financial Statement combining the assets and liabilities of all members of the venture shall be submitted in the name of Joint Venture, together with such other supporting documents as listed below:

A photostatic or certified copy of the Joint Venture Agreement shall be furnished. It shall contain a provision which will unequivocally bind the parties, jointly, and severally, to any joint venture entered into thereunder. It shall also specify the name under which the Joint Venture will operate and the name of those authorized to sign proposals, bonds, contracts, estimates, and other documents and/or instruments in connection with the Department of Transportation's contracts. Since some Joint Ventures may present unique problems, the foregoing will not necessarily be sufficient in all cases. Corporate minutes authorizing a joint venture must accompany the joint venture requests for prequalification.

Execution of Continuing Joint Venture Agreement

Members of a Continuing Joint Venture will be considered bound to it through the following applicable procedures:

- Individual:** Signature to the Joint Venture Agreement in the firm name under which he is doing business.
- Co-Partnership:** The signature of all partners, general and limited, under the firm name, to the Joint Venture Agreement.
- Corporation:** The signature of the authorized officer of the corporation with the corporate seal affixed. A certified copy of the resolution of the board of directors adopting the Joint Venture and authorizing the signatory to enter into a Joint Venture Agreement on behalf of the corporation shall accompany the agreement. If the resolution is made at a special meeting of the board of directors, a certified copy of the notice of the meeting or a waiver thereof shall also be furnished.

Procurement of Plans and Proposals

All requests for plans and proposal forms should be directed to the Pre-Contract Administration Branch, Department of Transportation, P O Box 47360, Olympia, WA 98504-47360, (360) 705-7836. Bids submitted from a firm without proper prequalification will not be accepted.

Reduced plans (12" x 18") and an "Informational" copy of the proposal, which cannot be used for bidding purposes, will be furnished to all applicants upon receipt of the fee as set forth in the Notice to Contractors. Proposal forms for bidding will be furnished to an applicant only if prequalified in the proper amount and class of work.

CAUTION

The proposal form furnished to a prospective bidder is not transferrable and may be considered irregular if the name entered thereon is altered in any manner without first receiving permission. Correspondence and inquiries should be directed to the Manager, Pre-Contract Administration Branch.



Standard Questionnaire and Financial Statement

All correspondence and inquiries pertaining to Prequalification of Bidders should be directed to:

Pre-Contract Administration
Department of Transportation
PO BOX 47360
Olympia, WA 98504-7360

360-705-7837
Fax 360-705-6966
Internet: walkeke@wsdot.wa.gov

NOTE: Before executing this form, read all information and instruction pages carefully.
This questionnaire is not for MBE/DBE or WBE Certification.

Please type all information

Name of Applicant or Firm (As registered with Washington State Department of Licensing)				
Street Address		City	State	Zip Code
PO Box		City	State	Zip Code
Telephone	Fax		Date Submitted	
The above Applicant or Firm is:				
A Parent Firm of:				
A Subsidiary - Division of:				

Standard Questionnaire

Preparation of Standard Questionnaire

All answers and other entries must be specific, complete in detail, and typewritten or printed. Pencil is not acceptable.

A corporation, co-partnership, or joint venture must furnish all information requested in the appropriate form at the top of page 7. The execution of the affidavit on page 8 must be complete.

The Standard Questionnaire furnishes information for establishing prequalification. It must be properly filled, executed, and received in the Pre-Contract Administration Branch not less than 15 days prior to the scheduled bid opening to receive consideration for issuance of a bidding proposal for that bid opening.

No fee is required in order to prequalify to bid on state highway projects. Full compliance with these instructions will avoid delay in effecting prequalification in the delivery of the bidding proposal forms to contractors properly prequalified.

Brochures and schedules may be furnished to supplement the Questionnaire, however, it is essential that the standard form be completed in full.

Prequalification may be established in any calendar quarter and is renewable annually.

The information contained in the Standard Questionnaire will be used to establish the class ratings of the applicant for the next year or remaining portion thereof and one additional calendar quarter. Once a quarterly period is selected, prequalification should be renewed each year in the same quarter unless there is a particularly good reason for making a change. Normally, annual renewal will be one to three months after the end of your firm's fiscal year. Financial statements which are one year or older are not acceptable for use in prequalification.

Standard Questionnaire

NOTE: This questionnaire is not for MBE/DBE or WBE Certification.

1. How many years has your organization been in business as a general contractor under your present business name? _____						
2. How many years experience as a: (a) Prime Contractor _____ (b) Subcontractor _____						
3. List the construction projects your organization has underway on this date and classes of work performed by your firm.						
	Contract Amount \$	* Class of Work	Scheduled Compl. Date	Prime or Sub	Title / Contract No.	Contracting Agency and Mailing Address, Name and Phone of Owner / Agency Rep.
3a.						
3b.						
3c.						
3d.						

4. List projects your organization has completed in the past three (3) years as described on the attached Classes of Work Sheet.

	Contract Amount \$	* Class of Work	Date Completed	Prime or Sub	Title / Contract No.	Contracting Agency and Mailing Address, Name and Phone of Owner / Agency Rep.
4a.						
4b.						
4c.						
4d.						
4e.						
4f.						
4g.						
4h.						
4i.						
4j.						

Attach additional sheet(s) if more space is needed

5. Has your organization ever failed to complete any work awarded to you?

☐ Yes ☐ No

If "Yes", state where and reasons why:

6. MBE / DBE / WBE Status (Minority Business / Disadvantaged Business / Women Business - Enterprises)

☐ MBE ☐ DBE ☐ WBE

7. What is the construction experience of the principal full-time individuals of your organization including superintendents and foremen?

Individual's Name	Present Position or Office	Years of Construction Experience	Largest Contract Dollar Value and Class(es) of Work	Position Held

8. List equipment that is available for anticipated work. (Indicate in col. 3: O - Own, R - Rent*, L - Lease)

Quantity	Item (Description, Size, Capacity. etc.)	Ownership	Years of Service	Present Location

* If rental equipment is used, please have your rental agent(s) submit a letter of guarantee of availability for your firm (Individual listing by pieces of equipment is not necessary. Grouping by types of equipment by volume of special work capabilities is sufficient).

9. In which of the following classes of work do you feel your firm has the equipment and experienced personnel to qualify for the classification? (Indicated in parenthesis below each classification is suggested equipment for applicants.) Indicate those classes for which you feel your firm qualifies by marking (X) the appropriate box. Identify in the column on the right the completed project(s) you have shown on Page 2 which are examples of the class of work you are requesting prequalification (i.e., 4a).

Class Number	Class Description	Project Example (From Page 2)
1	<input type="checkbox"/> Clearing, Grubbing, Grading, and Drainage (Scrapers or trucks, graders, compaction equipment, dozers, backhoes, frontloaders.)	
2	<input type="checkbox"/> Production and placing of crushed materials (Crushing plant, haul vehicles, motor patrol, compaction equipment)	
3	<input type="checkbox"/> Bituminous Surface Treatment (Distributor, chip, spreader, rollers, trucks, graders, compaction equipment, dozers, backhoes, frontloaders.	
4	<input type="checkbox"/> Asphalt Concrete Paving (Asphalt plant, asphalt pavers, rollers, trucks)	
5	<input type="checkbox"/> Cement Concrete Paving. (Slipform paving machines, concrete plant, trucks)	
6	<input type="checkbox"/> Bridges and Structures (Cranes, general building tools)	
7	<input type="checkbox"/> Buildings (General building tools)	
8	<input type="checkbox"/> Painting - Structural (Painting equipment, scaffolds, ladders etc.)	
9	<input type="checkbox"/> Traffic Signals (Ladder trucks, electrician tools)	

List other applicable classes by title and number as shown in the Prequalification Work Classes Listing.

Preparation of Financial Statement

For a firm showing a net worth in excess of \$100,000, the applicant must provide, with the questionnaire, a copy of its financial statement as ***audited or reviewed*** for its last fiscal year, prepared in accordance with the standards of the American Institute of Certified Public Accountants. The statement must be prepared by an independent certified public accountant registered and licensed under the laws of any state. Balance sheets, income statements, a statement of retained earnings, supporting schedules and notes, and the opinion of the independent auditor must accompany the financial statement. A compiled Financial Statement is not acceptable.

Example	Date of Financial Statement	Expiration Date of Prequalification
1st Quarter	December 31 to March 30	March 31 Following Year
2nd Quarter	March 31 to June 29	June 30 Following Year
3rd Quarter	June 30 to September 29	September 30 Following Year
4th Quarter	September 30 to December 30	December 31 Following Year

Additional information may be furnished for our consideration at any time. However, if there is a decrease in your financial position or significant changes within the structure of your organization, you must file a new Standard Questionnaire and Financial Statement.

Financial Statement			
1. End of Applicant's Fiscal Year Month _____ Day _____		2. Date of Year-End Financial Statement Month _____ Day _____ Year _____	
Total Tangible Assets _____	Total Liabilities _____	Net Worth _____	
3. Additional Financial Resource(s) (i.e., Bank Line of Credit, Parent Firm Guarantee, Personal Pledge of Net Worth, etc.) Any additional financial resources shall have a notarized letter to document the Pledge/Guarantee. The required information within the letter must have the dollar amount, purpose of Pledge/Guarantee, and a termination date for the Pledge/Guarantee. If additional financial resources are used within your Financial Statement above, indicate in the "Yes" column below. A Parent Firm form is available upon request.			
Source	Dollar Amount	Termination Date	Additional Resources
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
Statement of Financial Ability			
The firm certifies that its net worth has not substantially changed from that sum shown above in the Financial Statement. The prequalified firm is able to post the deposit (cash, certified check, security bond) (5% of the amount of the bid) required by RCW 47.28.090 and secure the performance bond (full contract amount) as required by RCW 39.08 for any project for which it has submitted a bid and is the successful low bidder.			
The firm's largest bonded, successfully completed project is:			
The firm's bond for that project was:		Date that project was completed:	
Name of Firm (As registered with the Washington State Dept. of Licensing)			
By (Authorized Signature):		Title	
Business Account Information (List the following business account numbers for your organization)			
Unified Business identifier Number (UBI)	UBI Expiration Date	Federal Employees (IRS) ID Number	

Type of Organization		
<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Co-Partnership <input type="checkbox"/> Joint Venture <input type="checkbox"/> Corporation		
Corporation		Co-Partnership or Joint Venture
Date Incorporated (Month/Year)	In What State?	Date of Organization
President's Name		Status <input type="checkbox"/> General <input type="checkbox"/> Limited <input type="checkbox"/> Assoc.
Vice President's Name		Is there any limitation on duration of Co-Partnership or Joint Venture? <input type="checkbox"/> Yes <input type="checkbox"/> No
Secretary's Name		If "Yes", Explain:
Treasurer's Name		
If Out-of-State Corporation, have you complied with Washington's Corporation Laws? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Other Organization Affiliation: List those persons within your organization that have a business affiliation in any other organization involved in construction-oriented projects as contractor, subcontractor, supplier, or consultant.		
Name of Individual	Name and Location of Other Organization	
Non-Collusion		
In order for your application for Prequalification to be considered, it is necessary to furnish the following information:		
1. Has your firm ever been indicted, pled guilty, pled nolo contend ere (no contest), or been convicted of any offense that has resulted in your firm being barred from being or performing work for any State, Local, or Federal Government? If "Yes", attach a separate sheet(s) to this form giving the details involved, the names of the individuals, and their current employment status with your firm. <input type="checkbox"/> Yes <input type="checkbox"/> No		
2. Has any officer, employee, or other member of your firm ever been indicted, pled guilty, pled nolo contend ere, or been convicted of any illegal restraints of trade, including collusive bidding? If "Yes", attach a separate sheet(s) to this form giving the details involved. <input type="checkbox"/> Yes <input type="checkbox"/> No		
3. Has your firm or any officer, employee, or member of your firm ever been debarred for violation of various Public Constraint Acts incorporating Labor Standards Provision? If "Yes", attach a separate sheet(s) to this form giving the details involved. <input type="checkbox"/> Yes <input type="checkbox"/> No		
4. Is your firm under the protection of the bankruptcy court, has pending any petition in bankruptcy court, or have you made an assignment for the benefit of creditors? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Authorized Signatures		
List the names and titles of those individuals in your organization who are authorized to execute proposals, contracts, bonds, and other documents and/or instruments on behalf of the organization. Specify if more than one signature is required.		
Name	Title	Signature

Execution of the Affidavit

Sole Proprietorship	Signature of the individual in the firm name under which business is conducted.
Co-Partnership	The signature of all partners, general and limited under the firm name, or the signature of their Attorney in Fact.
Corporation	The signature of the authorized officer(s) of the corporation with corporate seal affixed.
Joint Venture	Signatures of an authorized representative of each party to the joint venture. Corporate members of a joint venture shall also affix their corporate seal. (See page ii)

Affidavit

The undersigned, being duly sworn, deposes and says that the foregoing is a true statement of facts concerning the sole proprietorship, corporation, co-partnership or joint venture herein named, as of the date indicated; that the Financial Statement taken from the books of said firm as individual is a true and accurate statement of the financial condition of said firm or individuals as of the date thereof; that the answers to the foregoing interrogatories are true; that this statement is for the express purpose of inducing the Washington State Transportation Commission to award the said firm or individual a contract; and that any depository, vendor, or other agency herein named is hereby authorized to supply the Washington State Transportation Commission or its agent with any information to verify this statement.

Name of Firm (As registered with Washington State Department of Licensing):

Authorized Signature _____	Authorized Signature _____
Authorized Signature _____	Authorized Signature _____

Subscribed and sworn to me this _____ day of _____, _____

Notary Public in and for the State of _____

residing at _____

Corporate Seal

Notary Seal

Statement Prepared By _____ Title _____ Date _____

Prequalification Work Classes

<i>Class 1</i>	Clearing, Grubbing, Grading and Draining Removal of tree stumps, shrubs, modification of the ground surface by cuts and fills, excavating of earth materials, and the placement of draining structures.	<i>Class 16</i>	Illumination and General Electric Highway illumination, navigational lighting, wiring, junction boxes, conduit installation.
<i>Class 2</i>	Production and Placing of Crushed Materials Production and placing crushed surfacing materials and gravel.	<i>Class 17</i>	Cement Concrete Curb and Gutter Sidewalks, spillways, driveways, monument cases and covers, right-of-way markers, traffic curbs, and gutters.
<i>Class 3</i>	Bituminous Surface Treatment Placing of crushed materials with asphaltic application.	<i>Class 18</i>	Asphalt Concrete Curb and Gutter Sidewalks, spillways, driveways, monument cases and covers, right-of-way markers, traffic curbs, and gutters.
<i>Class 4</i>	Asphalt Concrete Paving Production and placing Asphalt Concrete Plant Mix Pavement.	<i>Class 19</i>	Riprap and Rock Walls Mortar, rubble, and masonry walls; rock retaining walls, and placing of large broken stone on earth surfaces for protection against the action of water.
<i>Class 5</i>	Cement Concrete Paving Production and placing cement concrete pavement.	<i>Class 20</i>	Concrete Structures Except Bridges Cast-in place median barrier, prestressing, post-tensioned structures, footings, prefabricated panels and walls, retaining walls, and ramps, foundations, and concrete slope protection.
<i>Class 6</i>	Bridges and Structures Construction of bridges, walls, and other major structures of timber, steel, and concrete.	<i>Class 21</i>	Tunnels and Shaft Excavation Tunnel excavation, rock tunneling, and soft bore tunneling.
<i>Class 7</i>	Buildings Construction of buildings and related structures within the right-of-way and major reconstruction and remodeling of such buildings.	<i>Class 22</i>	Piledriving Driving concrete, steel, and timber piles.
<i>Class 8</i>	Painting Painting bridges, buildings, and related structures.	<i>Class 23</i>	Concrete Surface Treatment Exposed aggregate, fractured-in and rope textured finishes; waterproofing concrete surfaces (clear or pigmented sealer).
<i>Class 9</i>	Traffic Signals Installation of traffic signal and control systems.	<i>Class 24</i>	Fencing Wire and metal fencing, glare screens.
<i>Class 10</i>	Structural Tile Cleaning Cleaning tunnels, large buildings and structures and storage tanks.	<i>Class 25</i>	Bridge Deck Repair Bridge expansion joint repair and modification, bridge deck resurfacing and repair.
<i>Class 11</i>	Guardrail Construction of a rail secured to uprights and erected as a barrier between, or beside lanes of a highway.	<i>Class 26</i>	Deck Seal Waterproof membrane.
<i>Class 12</i>	Pavement Marking (Excluding Painting) Thermoplastic markings, stripes, bars, symbols, etc. Traffic buttons, lane markers, guide posts.	<i>Class 27</i>	Signing Sign structures and signs.
<i>Class 13</i>	Demolition Removal of timber, steel, and concrete structures and obstructions.	<i>Class 28</i>	Not used
<i>Class 14</i>	Drilling and Blasting Controlled blasting of rock and obstructions by means of explosives.	<i>Class 29</i>	Slurry Diaphragm and Cut-Off Walls Slurry excavation and the construction of structural concrete walls and slurry cut-off walls.
<i>Class 15</i>	Sewers and Water Mains Draining, pipe jacking, water systems, pumping stations, storm drainage systems, sewer rehabilitation, sewage pumping stations, pressurized lines.	<i>Class 30</i>	Surveying Highway construction surveying.
		<i>Class 31</i>	Water Distribution and Irrigation Irrigation systems and heavy duty water distribution.

Class 32 Landscaping
Landscaping irrigation, planting, sodding, seeding, fertilizing, mulching, herbicide application, insecticide application, weed control, mowing, liming, soil binder, topsoil.

Class 33 Engineering
Work other than surveying, including engineering calculations, drawing and other related work for highway construction.

Class 34 Erosion Control
Seeding, fertilizing, mulching, slope protection, topsoil application, hydroseeding, soil stabilization, soil sampling.

Class 35 Precast Median Barrier
A concrete barrier that is cast and cured in other than its final position used to divide the median of two adjacent highways or temporarily placed to divert traffic in construction zones.

Class 36 Permanent Tie-Back Anchor
Installation of permanent rock and soil anchors, soldier piles and timber lagging. Soldier pile tie-back anchor wall construction.

Class 37 Impact Attenuators
Installation of approved protective systems filled with sand, water, foam, or other substances which prevent errant vehicles from impacting roadside hazards.

Class 38 Paint Striping
Painting bars, letters, symbols, and striping.

Class 39 Wire Mesh Slope Protection
The installation of a zinc-coated steel wire mesh anchored by wire rope and reinforced concrete posts or anchor rods. Used for dampening the effects of rolling rocks onto the highway. Slope scaling, horizontal drains, rock dowels, and rock bolts for slope stabilization.

Class 40 Gabion and Gabion Construction
Construction of walls made with containers of galvanized steel hexagonal wire mesh and filled with stone.

Class 41 Not used

Class 42 Electronics-Fiber Optic Based Communications Systems
Design and installation of fiber optic based communication systems.

Class 43 Mechanical
Plumbing work and the installation of heating or air conditioning units.

Class 44 Asbestos Abatements
Asbestos Abatement (L & I Certified Workers).

Class 45 Hazardous Waste Removal
The containment, cleanup, and disposal of toxic materials. Companies seeking this classification shall have full-time personnel with current hazardous waste training (certification).

Class 46 Concrete Restoration
Pavement subseal, cement concrete repair, epoxy coatings, epoxy repair, masonry repair, masonry cleaning, special coatings, epoxy injection, gunite, shotcrete grouting, pavement jacking, gunite repair, and pressure grouting.

Class 47 Concrete Sawing, Coring, and Grooving
Concrete sawing, concrete planning and grooving, bump grinding, joint repair, concrete coring, rumble strip.

Class 48 Dredging
Excavating underwater materials.

Class 49 Marine Work
Underwater surveillance, testing, repair, subaquatic construction, anchors, and cable replacement, floating concrete pontoon repairs and modifications, disassembly and assembly of floating concrete pontoons.

Class 50 Ground Modification
Pressure Grouting, blast densification, stone column, jet grouting, compaction, dynamic compaction, soil mixing, gravel drain.

Class 51 Well Drilling
Drilling wells, installing pipe casing and pumping stations.

Class 52 Sewage Disposal
Hauling and disposing liquid and solid wastes.

Class 53 Traffic Control
Providing piloted traffic control, traffic control labor, and maintenance and protection of traffic.

Class 54 Railroad Construction
Construction of railroad subgrade, placing of ballast, ties, and track and other items related to railroad work.

Class 55 Steel Fabrication
Welding of steel members, heat straightening steel.

Class 56 Street Cleaning
Street sweeping with self-propelled sweeping equipment.

Class 57 Materials Transporting
Truck hauling.

Class 58 Sand Blasting and Steam Cleaning
Steam cleaning, sand blasting, shot blasting, and water blasting.